



USPTO 1449 MODIFIED  
U.S. PATENT AND TRADEMARK OFFICE

ATTORNEY DOCKET NO.

APPLICATION NO.

215248.00004

09/954,495

LIST OF REFERENCES CITED BY APPLICANT

APPLICANT

Bruce R. WOODLEY, et al.

DATE SUBMITTED TO USPTO: August 3, 2004

FILING DATE

GROUP

09/10/2001

2828

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| LIST OF REFERENCES CITED BY APPLICANT  |           | APPLICANT<br>Bruce R. WOODLEY, et al.   |                               |
|  |           | FILING DATE<br>09/10/ 2001  | GROUP<br>2828                 |
| DATE SUBMITTED TO USPTO: August 3, 2004  |           |   |                               |
| OTHER DOCUMENTS(S) (Including author, title, date, pertinent pages, etc.)  |           |   |                               |
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| U.S. Department of Commerce, Patent and Trademark Office |  | Atty Docket No.                    | Serial No. |
|  |  | M-12004 US                         | Unknown    |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT            |  | Applicant(s)                       |            |
| (Use several sheets if necessary)                        |  | MacKinnon, Neil; Woodley, Bruce R. |            |
|  |  | Filing Date                        | Group      |
|  |  | Herewith 9/18/11                   | Unknown    |

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| Qm       | 12/04           |

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| U.S. Department of Commerce, Patent and Trademark Office   |    |   |          |                | Atty Docket No.                    |          | Serial No.                     |    |
|  |    |   |          |                | M-12004 US                         |          | <del>Unknown</del>             |    |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT  |    |   |          |                | Applicant(s) <u>09-954498</u>      |          |                                |    |
| (Use several sheets if necessary)  |    |   |          |                | MacKinnon, Neil; Woodley, Bruce R. |          |                                |    |
|  |    |   |          |                | Filing Date                        |          | Group                          |    |
|  |    |   |          |                | Herewith <u>WAS</u>                |          | <del>Unknown</del> <u>2722</u> |    |
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|  |    |   |          |                |                                    |          | Translation                    |    |
|  |    | Document  | Date     | Country        | Class                              | Subclass | Yes                            | No |
|  | AL |   |          |                |                                    |          |                                |    |
|  | AM |   |          |                |                                    |          |                                |    |
|  | AN |   |          |                |                                    |          |                                |    |
| <b>OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)</b>  |    |   |          |                |                                    |          |                                |    |
| <u>Om</u>  | AO | "Relation Between Normal-Mode and Coupled-Mode Analyses of Parallel Waveguides", Marom et al., vol. QE-20, No. 12, Dec. 1984, pp. 1311-1319.                              |          |                |                                    |          |                                |    |
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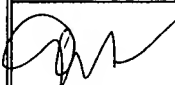
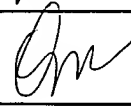
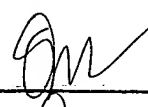
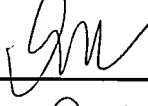

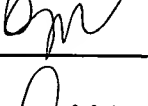
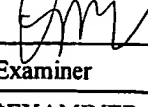
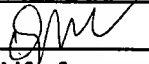
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| U.S. Department of Commerce, Patent and Trademark Office  |    |  |         |                | Atty Docket No.                    |          | Serial No.                 |    |
|   |    |  |         |                | M-12004 US                         |          | Unknown                    |    |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT   |    |  |         |                | Applicant(s) <u>09-954428</u>      |          |                            |    |
| (Use several sheets if necessary)   |    |  |         |                | MacKinnon, Neil; Woodley, Bruce R. |          |                            |    |
|   |    |  |         |                | Filing Date                        |          | Group                      |    |
|   |    |  |         |                | Herewith <u>9-10-01</u>            |          | Unknown                    |    |
| U.S. Patent Documents <u>2828</u>   |    |  |         |                |                                    |          |                            |    |
| *Examiner Initial   |    | Document Number  | Date    | Name           | Class                              | Subclass | Filing Date If Appropriate |    |
| <u>Qm</u>   | AA | 6,041,071  | 3/21/00 | Tayebati       | 372                                | 64       |                            |    |
|   | AB | 6,074,594  | 6/13/00 | Byer et al     | 264                                | 406      |                            |    |
|   | AC | 6,101,210  | 8/8/00  | Bestwick et al | 372                                | 96       |                            |    |
|   | AD | 6,108,355  | 8/22/00 | Zorabedian     | 372                                | 20       |                            |    |
|   | AE | 6,156,255  | 12/5/00 | Byer et al     | 264                                | 406      |                            |    |
|   | AF | 6,156,483  | 12/5/00 | McCoy et al    | 430                                | 311      |                            |    |
| <u>Qm</u>   | AG | 6,246,709 B1   | 6/12/01 | Oshiba et al   | 372                                | 50       |                            |    |
|   | AH |  |         |                |                                    |          |                            |    |
|   | AI |  |         |                |                                    |          |                            |    |
|   | AJ |  |         |                |                                    |          |                            |    |
|   | AK |  |         |                |                                    |          |                            |    |
| Foreign Patent Documents  |    |  |         |                |                                    |          |                            |    |
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|   |    | Document   | Date    | Country        | Class                              | Subclass | Yes                        | No |
|   | AL |  |         |                |                                    |          |                            |    |
|   | AM |  |         |                |                                    |          |                            |    |
|   | AN |  |         |                |                                    |          |                            |    |
|   | AO |  |         |                |                                    |          |                            |    |
|   | AP |  |         |                |                                    |          |                            |    |
| OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)  |    |  |         |                |                                    |          |                            |    |
| <u>Qm</u>   | AQ | Wacogne et al. "Single lithium niobate crystal for mode selection and phase modulation in a tunable extended-cavity diode laser", Optics Letters, vol. 19, no. 17, September 1994.<br><u>pp. 1334-1336</u> |         |                |                                    |          |                            |    |
| <u>Qm</u>   | AR | "Laser-Diode-Pumped, Electro-Optically Tunable Nd:MgO:LiNbO <sub>3</sub> Microchip Laser", MacKinnon et al., Journal of the Optical Society of America B, vol. 11, No. 3, Mar. 1994, pp. 519-522.          |         |                |                                    |          |                            |    |
| <u>Qm</u>   | AS | "Fast Silicon-on-Silicon Optoelectronic Router Based on a BMFET Device", Irace et al., IEEE Journal of Selected Topics in Quantum Electronics, vol. 6, No. 1, Jan./Feb. 2000, pp. 14-17.                   |         |                |                                    |          |                            |    |
| Examiner <u>Qm</u>  |    | Date Considered <u>12/04</u>   |         |                |                                    |          |                            |    |
| *EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant. |    |  |         |                |                                    |          |                            |    |

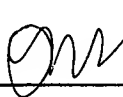
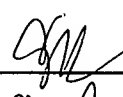
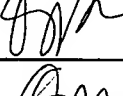
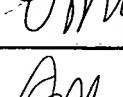
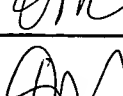
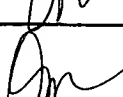
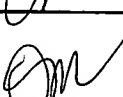
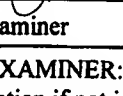

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| U.S. Department of Commerce, Patent and Trademark Office   |    |   |      |         | Atty Docket No.                    |          | Serial No.                     |    |
|  |    |   |      |         | M-12004 US                         |          | <del>Unknown</del>             |    |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT  |    |   |      |         | Applicant(s) <u>CR - 954496</u>    |          |                                |    |
| (Use several sheets if necessary)  |    |   |      |         | MacKinnon, Neil; Woodley, Bruce R. |          |                                |    |
|  |    |   |      |         | Filing Date                        |          | Group                          |    |
|  |    |   |      |         | Herewith <u>9-10-01</u>            |          | <del>Unknown</del> <u>2001</u> |    |
| U.S. Patent Documents  |    |   |      |         |                                    |          |                                |    |
| *Examiner Initial  |    | Document Number   | Date | Name    | Class                              | Subclass | Filing Date If Appropriate     |    |
|  | AA |   |      | /       |                                    |          |                                |    |
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|  | AD |   |      |         |                                    |          |                                |    |
|  | AE |   |      |         |                                    |          |                                |    |
| Foreign Patent Documents   |    |   |      |         |                                    |          |                                |    |
|  |    |   |      |         |                                    |          | Translation                    |    |
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|  | AF |   |      | /       |                                    |          |                                |    |
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|  | AI |   |      |         |                                    |          |                                |    |
|  | AJ |   |      |         |                                    |          |                                |    |
| OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)   |    |   |      |         |                                    |          |                                |    |
| AK   | AL | "Design Equations for the Reflectivity of Deep-Etch Distributed Bragg Reflector Gratings", Kasunic et al., <i>Journal of Lightwave Technology</i> , vol. 18, No. 3, Mar. 2000, pp. 425-429. |      |         |                                    |          |                                |    |
|  |    |   |      |         |                                    |          |                                |    |
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|  |    |   |      |         |                                    |          |                                |    |
| AO   | AP | "Coupling Optical Waveguides by Tapers", Nelson et al., <i>Applied Optics</i> , vol. 14, No. 12, Dec. 1975, pp. 3021-3015.  |      |         |                                    |          |                                |    |
|  |    |   |      |         |                                    |          |                                |    |
| AO   | AP | "Tunable Optical Waveguide Directional Coupler Filter", Alfemess et al., <i>Applied Physics Letters</i> , vol. 33, No. 2, July 1978, pp. 161-163.<br><u>Duplicate see "AP"</u>              |      |         |                                    |          |                                |    |
|  |    |   |      |         |                                    |          |                                |    |
| AO   | AP | "Loss in Cleaved Ti-Diffused LiNbO <sub>3</sub> Waveguides", Kaminow et al., <i>Applied Physics Letters</i> , vol. 33, No. 1, July 1978, pp. 62-64.   |      |         |                                    |          |                                |    |
|  |    |   |      |         |                                    |          |                                |    |
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|  |    |   |      |         |                                    |          |                                |    |
| Examiner <u>gml</u>  |    | Date Considered <u>12/04</u>  |      |         |                                    |          |                                |    |
| <p>*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.</p> |    |   |      |         |                                    |          |                                |    |

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| U.S. Department of Commerce, Patent and Trademark Office  |    |   |      |         |       | Atty Docket No.                    |                            | Serial No.         |  |
|   |    |   |      |         |       | M-12004 US                         |                            | <del>Unknown</del> |  |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT   |    |   |      |         |       | Applicant(s) 09-0154495            |                            |                    |  |
| (Use several sheets if necessary)   |    |   |      |         |       | MacKinnon, Neil; Woodley, Bruce R. |                            |                    |  |
|   |    |   |      |         |       | Filing Date                        |                            | Group              |  |
|   |    |   |      |         |       | Herewith 9-10-01                   |                            | <del>Unknown</del> |  |
| U.S. Patent Documents   |    |   |      |         |       |                                    |                            |                    |  |
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|   | AA |   |      | /       |       |                                    |                            |                    |  |
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|   | AC |   |      | /       |       |                                    |                            |                    |  |
|   | AD |   |      | /       |       |                                    |                            |                    |  |
| Foreign Patent Documents  |    |   |      |         |       |                                    |                            |                    |  |
|   |    |   |      |         |       |                                    | Translation                |                    |  |
|   |    | Document  | Date | Country | Class | Subclass                           | Yes                        | No                 |  |
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|   | AF |   |      | /       |       |                                    |                            |                    |  |
|   | AG |   |      | /       |       |                                    |                            |                    |  |
| OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)  |    |   |      |         |       |                                    |                            |                    |  |
| Om  | AH | "Electro-Optic Light Modulator with Branched Ridge Waveguide", Ohmachi et al., <i>Applied Physics Letters</i> , vol. 27, No. 10, Nov. 1975, pp. 544-546.                              |      |         |       |                                    |                            |                    |  |
| Om  | AI | "Active Branching Waveguide Modulator", Burns et al., <i>Applied Physics Letters</i> , vol. 29, No. 12, Dec. 1976, pp. 790-792.   |      |         |       |                                    |                            |                    |  |
| Om  | AJ | "Optical Waveguide Parabolic Coupling Horns", Burns et al., <i>Applied Physics Letters</i> , vol. 30, No. 1, Jan. 1977, pp. 28-30.  |      |         |       |                                    |                            |                    |  |
| Om  | AK | "External-Cavity Semiconductor Laser with 15nm Continuous Tuning Range", Favre et al., <i>Electronics Letters</i> , vol. 22, No. 15, July 1986, pp. 795-796.                          |      |         |       |                                    |                            |                    |  |
| Om  | AL | "Metal-Diffused Optical Waveguides in LiNbO <sub>3</sub> ", Schmidt et al., <i>Applied Physics Letters</i> , vol. 25, No. 8, Oct. 1974, pp. 458-460.                                  |      |         |       |                                    |                            |                    |  |
| Om  | AM | "Light Beam Scanning and Deflection in Epitaxial LiNbO <sub>3</sub> Electro-Optic Waveguides", Tien et al., <i>Applied Physics Letters</i> , vol. 25, No. 10, Nov. 1974, pp. 563-565. |      |         |       |                                    |                            |                    |  |
| Om  | AN | "A Three-Dimensional Optical Photonic Crystal", Lin et al., <i>Journal of Lightwave Technology</i> , vol. 17, No. 11, Nov. 1999, pp. 1944-1947.                                       |      |         |       |                                    |                            |                    |  |
| Examiner Om   |    | Date Considered 12/04   |      |         |       |                                    |                            |                    |  |
| *EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant. |    |   |      |         |       |                                    |                            |                    |  |



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| U.S. Department of Commerce, Patent and Trademark Office  |    |   |      | Atty Docket No.                    |       | Serial No.          |                            |
|   |    |   |      | M-12004 US                         |       | Unknown             |                            |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT   |    |   |      | Applicant(s) <u>09-954495</u>      |       |                     |                            |
| (Use several sheets if necessary)   |    |   |      | MacKinnon, Neil; Woodley, Bruce R. |       |                     |                            |
|   |    |   |      | Filing Date                        |       | Group               |                            |
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| U.S. Patent Documents   |    |   |      |                                    |       |                     |                            |
| *Examiner Initial   |    | Document Number   | Date | Name                               | Class | Subclass            | Filing Date If Appropriate |
|   | AA |   |      | /                                  |       |                     |                            |
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|   | AD |   |      | /                                  |       |                     |                            |
| Foreign Patent Documents  |    |   |      |                                    |       |                     |                            |
|   |    |   |      |                                    |       |                     | Translation                |
|   |    | Document  | Date | Country                            | Class | Subclass            | Yes No                     |
|   | AE |   |      | /                                  |       |                     |                            |
|   | AF |   |      | /                                  |       |                     |                            |
|   | AG |   |      | /                                  |       |                     |                            |
| OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)  |    |   |      |                                    |       |                     |                            |
| <u>6ym</u>  | AH | "Agile and Fast Switching Monolithically Integrated Four Wavelength Selectable Source at 1.55 $\mu\text{m}$ ", Talneau et al., <i>IEEE Photonics Technology Letters</i> , vol. 11, No. 1, Jan. 1999, pp. 12-14.                     |      |                                    |       |                     |                            |
| <u>Gm</u>   | AI | "Bragg Grating Fast Tunable Filter", Iocco et al., <i>Electronics Letters</i> , vol. 33, No. 25, Dec. 1997, pp. 2147-2148.  |      |                                    |       |                     |                            |
| <u>Gm</u>   | AJ | "Long-Period Fiber Gratings as Band-Rejection Filters", Vengsarkar et al., <i>Journal of Lightwave Technology</i> , vol. 14, No. 1, Jan. 1996, pp. 58-65.   |      |                                    |       |                     |                            |
| <u>G</u>  | AK | <del>"Single Lithium Niobate Crystal for Mode Selection and Phase Modulation in a Tunable Extended-Cavity Laser Diode", Wacogne et al., <i>Optics Letters</i>, vol. 19, No. 17, Sept 1994, pp. 1334-1336.</del> Duplicate; see "AQ" |      |                                    |       |                     |                            |
| <u>Gm</u>   | AL | "Electro-Optic Waveguide TE $\leftrightarrow$ TM Mode Converter with Low Drive Voltage", Alferness et al., <i>Optics Letters</i> , vol. 5, No. 11, Nov. 1980, pp. 473-475.  |      |                                    |       |                     |                            |
| <u>Gm</u>   | AM | "All-Optical Switching in an Angled -Grating Semiconductor Bragg Amplifier", Franke et al., <i>IEEE Photonics Technology Letters</i> , vol. 11, No. 7, July 1999, pp. 815-817.  |      |                                    |       |                     |                            |
| <u>Gm</u>   | AN | "Design, Tolerance Analysis, and Fabrication of Silicon Oxynitride Based Planar Optical Waveguides for Communication Devices", Wörhoff et al., <i>Journal of Lightwave Technology</i> , vol. 17, No. 8, Aug. 1999, pp. 1401-1407.   |      |                                    |       |                     |                            |
| Examiner <u>Gm</u>  |    | Date Considered <u>12/04</u>  |      |                                    |       |                     |                            |
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| U.S. Department of Commerce, Patent and Trademark Office  |    |  |      |                       | Atty Docket No.                    |          | Serial No.                 |    |
|   |    |  |      |                       | M-12004 US                         |          | Unknown 9-954495           |    |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT   |    |  |      |                       | Applicant(s)                       |          |                            |    |
| (Use several sheets if necessary)   |    |  |      |                       | MacKinnon, Neil; Woodley, Bruce R. |          |                            |    |
|   |    |  |      |                       | Filing Date                        |          | Group                      |    |
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| U.S. Patent Documents   |    |  |      |                       |                                    |          |                            |    |
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| Foreign Patent Documents  |    |  |      |                       |                                    |          |                            |    |
|   |    | Document   | Date | Country               | Class                              | Subclass | Translation                |    |
|   | AE |  |      | /                     |                                    |          | Yes                        | No |
|   | AF |  |      |                       |                                    |          |                            |    |
|   | AG |  |      |                       |                                    |          |                            |    |
| OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)  |    |  |      |                       |                                    |          |                            |    |
|   | AH | "Épitaxial Liftoff Microcavities for 1.55-μm Quantum-Well Spatial Light Modulators", Matos et al., <i>EIII Photonics Technology Letters</i> , vol. 11, No. 1, Jan. 1999, pp. 57-59.                              |      |                       |                                    |          |                            |    |
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|    | AJ | "Widely Tunable Sampled Grating DBR Laser with Integrated Electroabsorption Modulator", Mason et al., <i>IEEE Photonics Technology Letters</i> , vol 11, No. 6, June 1999, pp. 638-640.                          |      |                       |                                    |          |                            |    |
|    | AK | "In-Line Fibre-Optic Polariser", Eickhoff et al., <i>Electronics Letters</i> , vol. 16, No. 20, Sept. 1980, pp. 762-763.   |      |                       |                                    |          |                            |    |
|    | AL | "Single-Mode Fiber-Optic Polarizer", Bergh et al., <i>Optics Letters</i> , vol. 5, No. 11, Nov. 1980, pp. 479-481.   |      |                       |                                    |          |                            |    |
|    | AM | "Performance of Surface-Plasma-Wave Fiber-Optic Polarizers", Zervas et al., <i>Optics Letters</i> , vol. 15, No. 9, May 1990, pp. 513-515.   |      |                       |                                    |          |                            |    |
|    | AN | "Fabrication of a Side-Polished Fiber Polarizer with a Birefringent Plymer Overlay", Lee et al., <i>Optics Letters</i> , vol. 22, No. 9, May 1997, pp. 606-608.  |      |                       |                                    |          |                            |    |
| Examiner  |    |   |      | Date Considered 12/04 |                                    |          |                            |    |
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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT   |    |   |      |                 | Applicant(s)                       |          |                            |    |
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|   |    |   |      |                 | Filing Date                        |          | Group                      |    |
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| U.S. Patent Documents   |    |   |      |                 |                                    |          |                            |    |
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|   | AA |   |      |                 |                                    |          |                            |    |
|   | AB |   |      |                 |                                    |          |                            |    |
|   | AC |   |      |                 |                                    |          |                            |    |
|   | AD |   |      |                 |                                    |          |                            |    |
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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT   |    |   |      |                       |       | Applicant(s)                       |                            |            |  |
| (Use several sheets if necessary)   |    |   |      |                       |       | MacKinnon, Neil; Woodley, Bruce R. |                            |            |  |
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|   | AA |   |      |                       |       |                                    |                            |            |  |
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|   | AD |   |      |                       |       |                                    |                            |            |  |
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|   | AF |   |      |                       |       |                                    |                            |            |  |
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|   |    | Document  | Date | Country               | Class | Subclass                           | Yes                        | No         |  |
|   | AG |   |      |                       |       |                                    |                            |            |  |
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|   | AI |   |      |                       |       |                                    |                            |            |  |
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APPLICATION NO.

09/954,495

APPLICANT

Bruce R. WOODLEY

FILING DATE

09/10/2001

GROUP

2881-2828

LIST OF REFERENCES CITED BY APPLICANTS(S)

DATE SUBMITTED TO USPTO: July 11, 2003

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